

-- 10 Pages --**To: Office of Initial Patent Examination, Mail Stop Missing Parts****VIA FACSIMILE
(703) 872-9306****RECEIVED
CENTRAL FAX CENTER****MAY 16 2005**

May 16, 2005

Re: Applicant(s): Hausen, Bernard A.; et. al.
Assignee: Cardica, Inc.
Title: Method and System for Performing Closed-Chest Bypass Graft Surgery
Serial No.: 09/993,438
Examiner: Paul A. Roberts
Docket No.: 032405-059

Filed: November 13, 2001
Group Art Unit: 3731

Dear Sir:

Transmitted herewith are the following documents in the above-identified application:

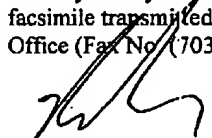
- (1) This Transmittal Letter;
- (2) Corrected Response to Office Action; and
- (3) Request for Corrected Filing Receipt and attachment thereto.

No additional fee is required.

Please charge any underpayment and credit any overpayment to Deposit Account 502108.

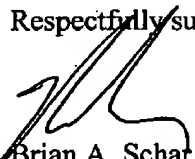
Certificate of Transmission

I hereby certify that this correspondence is being
facsimile transmitted to the U.S Patent and Trademark
Office (Fax No. (703) 872-9306) on May 16, 2005.



Brian Schar

Respectfully submitted,


Brian A. Schar
Attorney for Cardica, Inc.
(650) 331-7162
Reg. No. 45,076**RECEIVED
MAY 18 2005
OIPE/JCWS**



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
11/083,721	03/13/2005	3731	625	175	71	20	3

Brian A. Schar
Chief Patent Counsel
Cardica, Inc.
900 Saginaw Drive
Redwood City, CA 94063

CONFIRMATION NO. 1298

FILING RECEIPT



OC000000015990644

Date Mailed: 05/12/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Bernard A. Hausen, Menlo Park, CA;
Jaime S. Vargas, Menlo Park, CA;
Stephen A. Yencho, Menlo Park, CA;
James T. Nielsen, San Francisco, CA;
Theodore M. Bender, San Francisco, CA;
Brendan M. Donohoe, San Francisco, CA;
Philip E. Oyer, Woodside, CA;
Scott O. Chamness, Menlo Park, CA;

Assignment For Published Patent Application

~~Vascular Innovations, Inc.~~
Cardica,

Power of Attorney: The patent practitioners associated with Customer Number **33109**.

Domestic Priority data as claimed by applicant

This application is a DIV of 09/993,438 11/13/2001 PAT 6,869,437
which claims benefit of 60/247,029 11/13/2000

Foreign Applications

If Required, Foreign Filing License Granted: 05/10/2005

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US11/083,721**

Projected Publication Date: 08/18/2005

Non-Publication Request: No

Early Publication Request: No

**** SMALL ENTITY ****

Title

Tool and method for minimally invasive bypass surgery

Preliminary Class

606

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED)" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED)" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

MAY 16 2005

May 16, 2005

Office of Initial Patent Examination
Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Re: Applicant(s): Hausen, Bernard A.
Assignee: Cardica, Inc.
Title: Tool and Method for Minimally Invasive Bypass Surgery
Serial No.: 11/083,721
Examiner: Not yet assigned Filed: March 18, 2005
Docket No.: 175 Group Art Unit: 3731

REQUEST FOR CORRECTED FILING RECEIPT

Dear Sir:

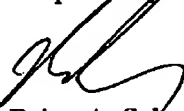
Enclosed is a copy of the Official Filing Receipt marked to show that correction is needed. The section entitled "Assignment for Published Patent Application" should read:

~~Vascular Innovations~~, Cardica, Inc.

In support of this change, a copy of the change of name recorded in the parent to this patent application, U.S. Pat. No. 6,869,437, is enclosed. The serial number of that patent, 09/993,438 is listed on page 2 of the Notification of Recordation of Assignment Document, which was recorded at reel 013180, frame 0120. That change of name carries over to this divisional patent application.

Issuance of a corrected Filing Receipt is respectfully requested.

Respectfully submitted,



Brian A. Schar
Reg. No. 45,076
Chief Patent Counsel
Cardica, Inc.
(650) 331-7162

**UNITED STATES
PATENT AND
TRADEMARK OFFICE**

OCTOBER 18, 2002

PTAS

Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
Washington, DC 20231
www.uspto.gov

CARDICA, INC.
BRIAN SCHAR
171 JEFFERSON DRIVE
MENLO PARK, CA 94025



102190929A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/12/2002

REEL/FRAME: 013180/0120
NUMBER OF PAGES: 3

BRIEF: CHANGE OF NAME (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

VASCULAR INNOVATIONS, INC.

DOC DATE: 11/26/2001

ASSIGNEE:

CARDICA, INC.
171 JEFFERSON DRIVE
MENLO PARK, CALIFORNIA 94025

SERIAL NUMBER: 09542976
PATENT NUMBER:

FILING DATE: 04/04/2000
ISSUE DATE:

SERIAL NUMBER: 09664589
PATENT NUMBER:

FILING DATE: 09/18/2000
ISSUE DATE:

SERIAL NUMBER: 09687216
PATENT NUMBER:


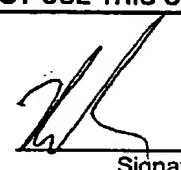
FILING DATE: 10/12/2000
ISSUE DATE:

SERIAL NUMBER: 09705819
PATENT NUMBER:

FILING DATE: 11/06/2000
ISSUE DATE:

013180/0120 PAGE 2

SERIAL NUMBER: 09712044
PATENT NUMBER:FILING DATE: 11/13/2000
ISSUE DATE:SERIAL NUMBER: 09764218
PATENT NUMBER:FILING DATE: 01/16/2001
ISSUE DATE:SERIAL NUMBER: 09778003
PATENT NUMBER:FILING DATE: 02/07/2001
ISSUE DATE:SERIAL NUMBER: 09886074
PATENT NUMBER:FILING DATE: 06/18/2001
ISSUE DATE:SERIAL NUMBER: 09937684
PATENT NUMBER:FILING DATE: 09/28/2001
ISSUE DATE:SERIAL NUMBER: 09989055
PATENT NUMBER:FILING DATE: 11/21/2001
ISSUE DATE:SERIAL NUMBER: 09993438
PATENT NUMBER:FILING DATE: 11/13/2001
ISSUE DATE:SERIAL NUMBER: 09924556
PATENT NUMBER:FILING DATE: 08/09/2001
ISSUE DATE:VIOLET MCCOY, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

Form PTO-1595 (Rev. 03/01)		RECORDATION FORM		08-15-2002		U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office	
OMB No. 0651-0027 (exp. 5/31/2009)		PATENTS				102190929	
Tab settings =>=>=>		To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.					
1. Name of conveying party Vascular Innovations, Inc. Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		FINANCE SECTION 8/12/02		2. Name and address of receiving party(ies) Name: Cardica, Inc. Internal Address: _____ Street Address: 171 Jefferson Drive City: Menlo Park State: CA Zip: 94025 Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
3. Nature of conveyance: <input type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input checked="" type="checkbox"/> Change of Name <input type="checkbox"/> Other _____ Execution Date: 11/26/2001		4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: _____ A. Patent Application No.(s) 09/542,976; 09/664,589; 09/687,216 Additional numbers attached? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		5. Name and address of party to whom correspondence concerning document should be mailed: Name: Brian Schar Internal Address: Cardica, Inc. Street Address: 171 Jefferson Drive City: Menlo Park State: CA Zip: 94025		6. Total number of applications and patents involved: 12 7. Total fee (37 CFR 3.41).....\$480 <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to be charged to deposit account 8. Deposit account number: 502108	
9. Signature. 08/14/2002 DBYRNE 00000153 09542976 01 FC:58 480.00 DP Brian Schar, Reg. No. 45,076 Name of Person Signing		DO NOT USE THIS SPACE  Signature		August 12, 2002 Date		Total number of pages including cover sheet, attachments, and documents: 3	

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

4. A. Patent Application Nos. (continued)

09/705,819

09/712,044

09/764,218

09/778,003

09/886,074

09/924,556

09/937,684

09/989,055

09/993,438

STATE OF DELAWARE
 SECRETARY OF STATE
 DIVISION OF CORPORATIONS
 FILED 09:00 AM 11/26/2001
 010603220 - 2805442

CERTIFICATE OF AMENDMENT
 OF
 RESTATED CERTIFICATE OF INCORPORATION
 OF
 VASCULAR INNOVATIONS, INC.

VASCULAR INNOVATIONS, INC., a corporation organized and existing under the laws of the State of Delaware (the "Corporation") hereby certifies that:

1. The name of the Corporation is Vascular Innovations, Inc.
2. The date of filing of the Corporation's original Certificate of Incorporation with the Secretary of State of the State of Delaware was October 15, 1997.
3. The following amendment of the Restated Certificate of Incorporation was duly adopted in accordance with the provisions of Section 242 of the Delaware General Corporation Law by resolution duly adopted by the Board of Directors of this Corporation and was approved by the stockholders of the Corporation in accordance with the provisions of Section 228 of the Delaware General Corporation Law.
4. Article I of the Restated Certificate of Incorporation is hereby amended to read in its entirety as follows:

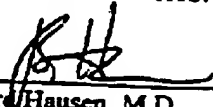
"The name of the corporation is Cardica, Inc. (the "Corporation" or the "Company")."

5. All other provisions of the Restated Certificate of Incorporation shall remain in full force and effect.


IN WITNESS WHEREOF, the Corporation has caused this certificate to be signed by its President and Chief Executive Officer, Bernard Hausen, M.D. and attested by its Assistant Secretary, Frank F. Rahmani, this 8th day of November, 2001. AM

Vice President, Legal

VASCULAR INNOVATIONS, INC.


 Bernard Hausen, M.D.
 President & Chief Executive Officer

ATTEST:


 Mark Meltzer
 Vice President of Legal

124438 v1/HN
 2_0M011. DOC

August 12, 2002

Box Assignment
Commissioner For Patents
Washington, D.C. 20231

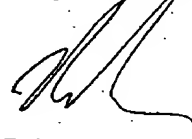
Dear Sir:

Transmitted herewith are the following documents:

- (1) This Transmittal Letter;
- (2) Recordation Form Cover Sheet;
- (3) Certificate of Amendment of Restated Certificate of Incorporation;
- (4) Check no. 6100 in the amount of \$480.00; and
- (5) Return postcard.

EXPRESS MAIL LABEL NO.
EV107871818US

Respectfully submitted,



Brian A. Schar
Attorney for Applicant(s)
Reg. No. 45,076